

Serial No.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Alok M. Srivastava et al.	Group Art Unit:	:
Serial No.:		Examiner:	:
Filed:			:
For	Light Sources With Nanometer-Sized VUV Radiation-Absorbing Phosphors		:

## INFORMATION DISCLOSURE STATEMENT

- 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.	
_____ Date of Deposit	
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This paper is submitted in accordance with:

6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]

7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

8 The required Certification made in item 11 below; or

9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.

10 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 11 below; and

b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.

11 Certification

12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or

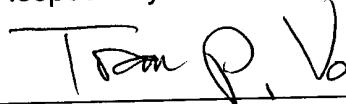
13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

14 Payment of all applicable fees:

15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



\_\_\_\_\_  
Attorney - Toan P. Vo

Registration No. 43,225

Phone: (518) 387-6648  
or (518) 387-7122

General Electric Company  
CRD Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, New York 12301  
Customer Number: 006147

\_\_\_\_\_  
Date  
September 25, 2003

FORM PTO-1449  
(REV. 7-80)

(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

136299

Applicant

Alok M. Srivastava et al.

Filing Date

Group

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

LIST OF ITEMS

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4	2	6	2	2	3	1	04/14/81	Anderson et al.		
	AB	5	6	2	4	6	0	2	04/29/97	Lenox et al.		
	AC	5	9	5	2	7	9	1	09/14/99	Watanabe et al.		
	AD	5	9	5	8	3	6	1	09/28/99	Laine et al.		
	AE	5	9	5	9	4	0	5	09/28/99	Soules et al.		
	AF	6	0	5	1	9	2	2	04/18/00	Schlejen et al.		
	AG	6	1	3	7	2	3	6	10/24/00	Michiels et al.		
	AH											
	AI											
	AJ											
	AK											

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER		DATE	COUNTRY		CLASS	SUBCLASS	TRANSLATION			
									YES	No		
	AL	0	9	9	3	0	2	0	09/22/99	EPO ✓		
	AM	0	2	2	0	6	9	6	09/07/01	PCT		
	AN	0	2	2	0	6	9	5	09/08/01	PCT ✓		
	AO											
	AP											

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

AR	US 2003/0011310A1 Patent Application Publication, Juestel et al. -Published Jan. 16, 2003
AS	US 2002/0185960A1 Patent Application Publication, Setlur et al. - Published Dec. 12, 2002
AT	US 2002/0171356A1 Patent Application Publication, Setlur et al. - Published Nov. 21, 2002
EXAMINER	DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
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		DOCUMENT NUMBER		COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
BL								
BM								
BN								
BO								
BP								

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

BR	US 2003/0032192A1 Patent Application Publication - Haubold et al. - Published Feb. 13, 2001
BS	R. Baranwal et al., "Flame Spray Pyrolysis of Precursors as a Route to Nano-Mullite Powder: Powder Characterization and Sintering Behavior", J. Am. Ceram. Soc., Vol. 84, 951-961 (2001)
BT	W. Que et al., "Preparation and Characterization of Erbium Oxalate and Erbium Oxide Nanoparticles by Microemulsion Technique", Mat. Sci. & Eng. C, Vol. 16, 51-54 (2001)

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CB								
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CH								
CI								
CJ								
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER		DATE	COUNTRY		CLASS	SUBCLASS	TRANSLATION
									YES      No
	CL								
	CM								
	CN								
	CO								
	CP								

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

CR	R. Subramaman et al., "Synthesis of Nanocrystalline Yttria by Sol-Gel Method", Mat. Lett., Vol. 48, 342-346 (2001)
CS	R. Ramesh et al., "Optical Properties of Ce <sup>3+</sup> in Self-Assembled Strontium Chloro(hydroxy) Apatite Nanocrystals", J. Phys. Chem. B, Vol. 104, 8351-8360 (2000)
CT	T.S. Ahmadi et al., "Low Temperature Synthesis of Pure and Mn-Doped Willemite Phosphor (Zn <sub>2</sub> SiO <sub>4</sub> :mn) in Aqueous Medium", Mat. Res. Bull., Vol. 35, 1869-1879 (2000)

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							YES	No
	DL							
	DM							
	DN							
	DO							
	DP							

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

DR	"Novel Nanophosphors for High-Efficiency Fluorescent Lamps", Technical Proposal submitted to US DOE. April 14, 2003	
DS	K. Riwotzki et al., "Liquid Phase Synthesis of Colloids and Redispersible Powders of Strongly Luminescing LAPO <sub>4</sub> : Ce, Tb Nanocrystals, Angew. Chem. Int. Ed., Vol. 40, No. 3, 573 (2001)	
DT	M. Kottaisainy et al. "Yttrium Oxide: Eu <sup>3+</sup> Red Phosphor by Self-Propagating High Temperature Synthesis, Mat. Res. Bull., Vol. 31, No. 8, 1013 (1996)	

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							YES	No
EL								
EM								
EN								
EO								
EP								

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

/ ER	H. Tsuboi et al., "Synthesis and Fluorescence Properties of Eu <sup>2+</sup> - Complex-Doped - SiO <sub>2</sub> Gels", J. Am. Ceram. Soc., Vol. 81, No. 5, 1197 (1998) -
/ ES	C. Feldman et al., "Preparation of Sub-Micrometer LnPO <sub>4</sub> Particles (Ln=La,Ce)", J. Mat. Sci., Vol. 37, 3251 (2002)
/ ET	S. Nichihama et al., "The Preparation of Rare Earth Phosphate Fine Particles in an Emulsion Liquid Membrane System", J. Mater. Chem., Vol. 12, 1053 (2002)

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							YES
	FL						
	FM						
	FN						
	FO						
	FP						

## OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

FR	I.W. Lenggoro et al., "Synthesis of LaPO <sub>4</sub> : Ce,Tb Phosphor Particles by Spray Pyrolysis", Mat. Lett., Vol. 50, 92 (2001)
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